

TECHNICAL ASSISTANCE – MULTIPLE REFERRALS

Prepared by the Division of Human Resources in the Department of Personnel & Administration January, 2005.

GENERAL

A change to Director's Administrative Procedure P-4-17 was implemented on December 1, 2004 to correct an overly restrictive procedure when filling more than one vacancy from a single list. The revised P-4-17 provides parameters for applying the rule of three when dealing with multiple vacancies. It provides limited flexibility to an appointing authority in determining how many names are referred when more than one vacant position with the same qualifications and competencies will be filled from a single eligible list. When making referrals for multiple vacancies, an appointing authority may be referred a minimum of one name per vacancy plus an additional two names or *up to* three names for each vacancy.

Under the revised procedure, the appointing authority decides up front whether the minimum or maximum number of names (or a number in between) will best serve the goal of appointing those applicants best suited for the positions. When an appointing authority chooses to exercise the option to receive a multiple referral list, the HR office has an obligation to fully inform the appointing authority of their professional and legal responsibilities while filling each vacancy.

DETERMINING THE NUMBER OF APPLICANTS TO BE REFERRED

At the time of the vacancy announcement the appointing authority must decide how many applicants are to be referred **per vacancy** from the eligible list and notify the HR office of the requested number. The appointing authority has the option of being referred one name per vacancy plus two additional names or *up to* three names per vacancy.

The number of applicants requested cannot exceed three times the number of actual vacancies to be filled at the time of the announcement. For example, if there are four vacant Administrative Assistant I positions with the same qualifications and competencies, the appointing authority may request a referral of a minimum of six names (one name per vacancy plus two additional names) or as many as twelve names (three per vacancy).

At the time of referral, the HR office must reaffirm the number of positions to be filled before generating the referral. Once the referral is made, the number of vacancies to be filled cannot change without running the risk of referring too many names or limiting the appointing authority's discretion.

ASSESSMENT PROCESS

Applicants who successfully complete the assessment process will be ranked and placed on the eligible list.

Q-List. If the number of qualified applicants at time of application is equal to or less than the number of vacancies plus two additional names, assessment and rank ordering of the applicants is not required before referral as was the case prior to the change in Director's Procedure P-4-17. If the number is more than the minimum, applicants shall be ranked on the eligible list by competitive tests of competence. Assessment shall be conducted to ensure that applicants on the eligible list all demonstrate acceptable levels of desired competencies and to assist the appointing authority in finding the best qualified persons for all positions.

Note: Each registration number should include at least one assessment process in the exam plan such as an application review – Pass/fail. This allows ADS to make a referral in the case of a "Q-list." At this time, ADS does not allow a referral of more than three names if there are no exam scores on record.

REFERRAL AND APPOINTMENT

Tie Scores. Reasonable efforts should be taken in the design of assessment tools and scoring mechanisms to avoid tie scores. Tied scores are handled in the same manner as tied scores are handled for a single vacancy or a multiple referral with one name per vacancy plus two additional names. If the tie occurs at the lowest ranking that provides the appointing authority with the requested number of referrals, all applicants with that score are included on the referral.

All those referred must be notified of their referral. Appointing authorities are encouraged to consider all candidates referred. During final consideration, applicants determined to be unsuitable for appointment should be removed from the list in accordance with procedure P-4-15 and the reasons documented in the exam file. However, in the case where more than one name (plus two additional names) per vacancy are referred, the appointing authority shall not have the option of receiving additional names when applicants fail to be appointed after referral and interview for three or more vacancies [P-4-15(B)(6)]. After a name is removed, an additional name may be referred only if the total number of names on the referral list is less than three times the number of remaining vacancies and the reason for removal was other than failure to appoint after referral and interview for three or more vacancies.

The appointing authority should notify applicants on the referral list if not selected for any of the positions.

CANCELING A LIST

A list may be cancelled only when all declared vacancies are filled or less than one name per vacancy (plus two additional names) remain on the list (an incomplete list).

The above information is general in nature and every attempt is made to keep this information updated. For more information, refer to Chapter 4 of the Director's Administrative Procedures or contact your department human resources office. Subsequent revisions to rule or law could cause conflicts in this information. In such a situation, the laws and procedures are the official source upon which to base a ruling or interpretation. This document is a guide, not a contract or legal advice.